Arizona
Department of Education

2013-2014

GUIDANCE FOR PRIORITY-SIG PRIORITY, AND FOCUS SCHOOLS

School Improvement and Intervention
Multi-Tiered System of Support
2013-2014 School Year

System consists of four components:
Technical Assistance/Support
Professional Development
Progress Monitoring
Compliance Monitoring

Priority
More Need
Intensive

Focus
Targeted

Title I
Universal
Less Need

Priority Schools & SIG Funded Priority Schools			
Support		**Accountability**	
Technical Assistance	**Professional Learning**	**Progress Monitoring**	**Compliance Monitoring**
• Assigned ADE SII Specialist • Assigned LEA & School Improvement Implementation Specialist for grant funded schools • On-site support visits based on needs • Support developing, implementing & monitoring LEA & School Continuous Improvement Plans, grant application & funding process • Peer Network Partnerships • School Improvement Webinars	• Leadership Development Targeted Professional Learning: ✓ Curriculum, Instruction, Assessment ✓ 7 Turnaround Interventions ✓ Turnaround Model ✓ Transformation Model ✓ Other ADE PD • Peer-panel Webinars focused on the 7 Turnaround Interventions	• Semi-annual progress monitoring site visits (Solution Team visit) • Semi-annual progress monitoring report by ADE • Annual review of LEA/School Self-Readiness Assessment • LEA/School Benchmark & Leading Indicator data submission (3 x a year) • School improvement survey • Website access to progress monitoring resources	• Documentation of Title I set-aside • Parent Notification Letter • LEA & School Continuous Improvement Plans(LCIP AND SCIP) on ALEAT • Fiscal Review (Grant Funded) ○ Budget review ○ Quarterly fiscal monitoring ○ Amendment review ○ Cash Management Review ○ Completion Report

School Improvement and Intervention
Multi-Tiered System of Support
2013-2014 School Year

Focus Schools			
Support		**Accountability**	
Technical Assistance	**Professional Learning**	**Progress Monitoring**	**Compliance Monitoring**

• Assigned ADE SII Specialist
 	
• Assigned LEA & School Improvement Implementation Specialist for grant funded schools
 	
• On-site support visits based on needs
 	
• Support developing, implementing & monitoring LEA & School Continuous Improvement Plans, grant application & funding process
 	
• Peer Network Partnerships
 	
• School Improvement Webinars
	• Leadership Development
	
	Targeted Professional Learning:
	✓ Curriculum, Instruction, Assessment
	✓ 7 Turnaround Interventions
	✓ Other ADE PD
	
	• Peer-panel Webinars focused on the 7 Turnaround Interventions
		• Progress monitoring by ADE differentiated by site needs (Solution Team visit)
		
		• Progress monitoring report by ADE following visit
		
		• Annual review of LEA/School Self-Readiness Assessment
		
		• LEA/School Benchmark & Leading Indicator data submission (3 x a year)
		
		• School improvement survey
		
		• Website access to progress monitoring resources
			• Documentation of Title I set-aside
			
			• Parent Notification Letter
			
			• LEA & School Continuous Improvement Plans on ALEAT
			
			• Fiscal Review (Grant Funded)
			  o Budget review
			  o Quarterly fiscal monitoring
			  o Amendment review
			  o Cash Management Review
			  o Completion Report

Universal			
Support		**Accountability**	
Technical Assistance	**Professional Development**	**Progress Monitoring**	**Compliance Monitoring**
• Assigned ADE Title I Program Specialist • School Improvement Webinars • Website access to improvement tools	• Support in finding ADE PD aligned to LCIP and SCIP • Quarterly networking opportunities	• Website access to progress monitoring resources	• LCIP and SCIP on ALEAT

SCHOOL IMPROVEMENT AND INTERVENTION MISSION

To build LEA and school capacity through a comprehensive system of support that ensures effective and sustainable teaching and learning environments that result in high academic achievement.

SYSTEM OF SUPPORT

The School Improvement and Intervention unit implements a Multi-Tiered System of Support for Priority, Focus, Priority-SIG and Universal schools. The System of Support consists of four components:

- I.   Technical Assistance/Support
- II. Professional Development,
- III. Progress Monitoring
- IV. Compliance Monitoring

LEAs with Priority-SIG, Priority, and Focus schools will receive differentiated support based on the needs of the LEA and school. As LEAs and schools make progress, the level of support and monitoring will gradually decrease.

SITE VISITS

On-site visits will be conducted by an assigned Arizona Department of Education (ADE) School Improvement and Intervention (SII) Education Program Specialists (EPS) and/or Implementation Specialists (IS) for technical assistance/support, as well as progress and compliance monitoring. The number of on-site visits each LEA and school will receive will be differentiated based on need. A framework to guide the agenda for the progress monitoring visits will be provided prior to the visit (see Progress Monitoring).

Priority-SIG, Priority and Focus Schools with an Implementation Specialist will receive differentiated support for LEA and school leadership. The IS will provide on-site and desktop support to LEA's and schools; support will not exceed 50 days per school year.

Priority-SIG, Priority and Focus Schools without an Implementation Specialist will receive differentiated support from their assigned ADE SII EPS. The EPS will provide on-site and desktop support to LEA's and schools. The support for LEA and school leadership will be based on need.

Off-site visits will be conducted for technical assistance either through School Improvement and Intervention webinars and/or Go-To-Meetings.

LEA & SCHOOL IMPROVEMENT IMPLEMENTATION SPECIALISTS (IS)

LEA & School Improvement Implementation Specialists are approved vendors contracted through ADE to provide differentiated supports for LEAs and schools in developing, implementing, and monitoring continuous improvement plans and processes aligned to the 7 Turnaround Interventions or the Turnaround/Transformation Model. Implementation Specialists will be assigned to LEAs and schools who apply through 1003(a) or 1003(g) school improvement grant funds. Priority-SIG, Priority, and Focus schools who choose to have an IS must sign a letter of agreement for ADE to pay for Implementation Specialist services on behalf of the LEA/school.

The Implementation Specialist will be available to:

1. Coordinate, assist and deliver appropriate coaching, mentoring and professional development for LEA and school leadership in the areas of Continuous Improvement; LEA Leadership; Curriculum and Instructional Systems; Supplemental Supports and Intervention Services; Data, Assessment and Evaluation; and Stakeholder Relations.

2. Provide coaching and mentoring support for LEA and school leadership in the development of LEA and School Continuous Improvement Plans aligned to the 7 Turnaround Interventions, including school achievement goals for priority and focus schools targeting subgroups that lead to identification.

3. Review the alignment of LEA and school resources (human, fiscal, etc.) to assist LEA and school leadership in strategic decision making to support development and implementation of LEA and School Continuous Improvement Plans.

4. Provide coaching and mentoring support for LEA and school leadership in implementing and monitoring effectiveness of strategies and action steps in the LEA and School Continuous Improvement Plans.

5. Provide coaching and mentoring support for LEA and school leadership in developing, implementing and monitoring continuous improvement processes that are systematic, systemic and sustainable and will lead to increases in student achievement.

6. Provide job-embedded professional development through capacity building coaching for LEA and school leadership.

7. Support LEA and school leadership by attending leadership development trainings with LEA and school and by implementing best practices from trainings.

I.   TECHNICAL ASSISTANCE/SUPPORT

The School Improvement and Intervention staff is committed to offering service and support to Priority-SIG, Priority, and Focus Schools regarding the implementation of their Continuous Improvement Plans (LCIP and SCIP) and/or School Improvement grant(s). Each LEA and Priority-SIG, Priority and Focus School is assigned a SII EPS. Support will be provided both on and off site and will be differentiated based on the needs of the LEA and school. Support is offered through technical assistance, but ultimately, it is the responsibility of the LEA and school to assure the implementation of their approved Continuous Improvement Plans and/or the management of their approved School Improvement and Intervention Grant with the greatest fidelity.

II.   PROFESSIONAL LEARNING

The School Improvement and Intervention unit is dedicated to providing professional learning opportunities for LEA's Priority-SIG, Priority and Focus schools throughout the year. Professional learning will be provided regionally when possible. LEA and schools will have targeted professional development focusing on curriculum, instruction, and assessment, as well as the 7 Turnaround Interventions, the Turnaround Model, the Transformation Model and leadership development.

Leadership Development is a requirement for Priority and Priority-SIG schools.
Focus schools may participate in leadership development opportunities as needed.

Leadership development teams should consist of a 2-3 representatives: 1 LEA representative and 1 principal will be required to attend the leadership development trainings. If you have chosen an IS, then he/she will attend the leadership development trainings with the leadership team.

Leadership Development Opportunities:

AZ LEADS:
The AZ LEADS Leadership Institute is a year-long training program designed to build, enhance, and reinforce the leadership skills and capacity building required to lead a school in the process of increasing student achievement. Participating schools will commit to a team of two or three members consisting of:

- Principal (mandatory)
- Superintendent or their designee
- Staff member from the school campus

The Institute consists of eight, full day trainings that are held approximately a month apart. It is highly recommended that those who choose to enroll in the Institute also contract for an IS who will attend all trainings and assist the Principal in implementing appropriate strategies on site. Principals who request the Leadership Institute training and would prefer to forgo the addition of an IS would then be assigned a leadership coach.

AZ LEADS and SAM:
The National SAM Innovation Project (NSIP), a non-profit organization, has developed an innovative process and set of tools that change the fundamental role of principals from managers to instructional leaders. NSIP helps schools develop systems that allow the principal to devote more time to instructional leadership, activities directly tied to improving teaching and learning.

SAM schools learn to create "First Responders," so the principal is not automatically pulled from instructional work. Leaders learn how to use a cloud-based calendar that serves as the principal's lesson plan. SAM Implementation Specialists work in the school for several weeks supporting the principal and office staff as they begin SAM work. Office staff receives training in a unique conversation protocol that makes every member of the school community feel valued without immediately involving the principal.

Most principals view the SAM process as a lifeline. They gain control over their day-to-day responsibilities and finally have time to do what they love most – provide guidance and support to their teachers, parents and students.

SAM has been effectively employed in hundreds of schools across the U.S. The first year fee for a school is $12,900 and includes on-site training and year-long support for the principal, assistant principal(s) and SAM team members. It also covers all expenses (except airfare) for the SAM team to attend the NSIP annual national conference.

To learn more visit: http://www.samsconnect.com

NATIONAL INSTITUTE FOR SCHOOL LEADERSHIP (NISL):
The National Institute for School Leadership (NISL) is an 18 month program that offers high-quality, research-based professional development designed to give principals the critical knowledge and skills they need to be instructional leaders and improve student achievement in their schools.

NISL's Executive Development Program emphasizes the role of principals as strategic thinkers, instructional leaders and creators of a just, fair and caring culture in which all students meet high standards. It ensures that school leaders can competently and effectively set direction for teachers, support their staffs and design an efficient organization.

The program combines best practices in teaching and learning, subject-area content knowledge, and leadership knowledge and practices, including:

- Leadership knowledge and skills: Strategic thinking; strong school culture and team building; data-driven organization; importance of systems; turnaround leadership competencies.
- Best practices in teaching and learning: Coaching and teacher supervision; use of standards-based classrooms; formative assessment; instructional teams; compelling school vision; differentiated instruction; and professional learning communities.
- Subject-area knowledge: Creating excellent school-wide programs in English language arts, mathematics and science; identifying and coaching towards strong instruction in the content areas.
- Best practices for delivery of adult curriculum: 360° assessments; cohort-based; job-embedded learning; simulations; case studies; group discussion; and extended period of study.

Through the train-the-trainer model, districts can deliver the program in-house, minimizing costs and maximizing the impact on instructional leadership in the district.

To learn more visit: http://www.nisl.net/

University of Arizona, Turnaround Curriculum Leadership Development:
The University of Arizona's College of Education's 3 year Turnaround Curriculum Leadership Development program for leadership teams (principal, two teacher leaders, and district representative) is designed to deliver cost-effective leadership development, build capacity for whole school reform, and improve student outcomes. Turnaround curriculum leaders are those leaders who have the leadership skills and curriculum content and pedagogical knowledge necessary to build capacity for curriculum and instructional improvement.

Institute/Direct Instruction Training: 10 days per year of turnaround leadership practices/Common Core Literacy across the Curriculum, for a total of 30 days in 3 years.

Trained Coaches: It is highly recommended that those who choose to enroll in the Institute also contract for an Implementation Specialist who will attend all trainings and provide trained curriculum leadership coaching in order to extend and individualize the turnaround curriculum leadership practices. Schools which prefer to forgo the addition of an Implementation Specialist would then be assigned a trained leadership coach through the program.

Beat the Odds:

Based upon methodology from best-selling author Jim Collins, Beat the Odds is a rigorous, multi-year school improvement program. Beat the Odds research indicates that academic achievement is improved significantly when six characteristics are present at a school: a strong and steady principal, the establishment of a clear bottom line, on-going assessment, collaborative solutions, a program built to suit individual students and a commitment to successful established programs.

The mission of Beat the Odds is to significantly improve individual student achievement and align student performance with national and global standards.

Partner School Goals:

- Exceed standards on state assessments
- Increase test scores in reading, writing and math
- Perform better than predicted by demographics

Partner School Objectives:

- Implement and practice the **six keys for success**
- Assess and benchmark their school's current academic progress
- Develop an action plan based on the needs of their school population
- Attend partner meetings to gain new knowledge, network and collaborate with others
- Share information through the Beat the Odds website

Services and Products:

- Mentoring program for principals
- Partner meetings for principals
- Leadership seminars for district staff
- Online resource center
- Recognition program
- Research information

To learn more visit: http://www.beattheoddsinstitute.org/index.php

Additional networking opportunities will be made available in different regions for Priority-SIG, Priority, and Focus Schools. SII also offer support in finding other ADE professional development opportunities aligned to your school improvement efforts.

During the school year, SII will offer peer panel webinars focusing on the 7 Turnaround Interventions. SII will also offer support webinars. As an example, SII's first support webinar will be on conducting the required Self-Readiness Assessment.

III. PROGRESS MONITORING

The School Improvement and Intervention unit will monitor progress on implementation of the LEA and schools' approved Continuous Improvement Plans and approved SII grant(s) through on and off site visits and reports. Priority-SIG schools are required to address strategies in the Turnaround or Transformation Model. Priority Schools are required to address all 7 Turnaround Interventions. Focus Schools are required to address Turnaround Interventions selected based on a needs assessment and the reason for identification as a Focus School.

Priority-SIG and Priority Schools will have two monitoring on-site visits per school year. Additional on-site monitoring visits will be based on school need.

Focus Schools will have a minimum of one progress monitoring on-site visit per school year. Additional on-site monitoring visits will be based on school need.

Framework for On-Site Progress Monitoring Visits

Prior to Visit
- Establish Agenda for day(s)-ADE with LEA and School site

Site Visit Activities
- *Walk-through Classroom Observations (10-15 minutes each)*
  - ✓ ADE conducts classroom observations using ADE walkthrough protocol
  - ✓ Observe in all Math and English/Language Arts classrooms
  - ✓ Observe in other classrooms as time permits
  - ✓ Summarize classroom observation data collected and provide feedback
- *Focus Group Interviews (approx. 30 minutes each)*
  - ✓ LEA Leadership
  - ✓ School Leadership
  - ✓ Teachers (4-6 teachers) depending on school size
  - ✓ Students (4-6 students)

- *ADE, LEA and School Leadership Team Meeting*
  - ✓ **Data Presentation**-LEA/school provides overview presentation of student and teacher performance data
  - ✓ **Implementation Summary**-Review progress of LCIP/SCIP strategies and action steps based on the 7 Turnaround Interventions, review progress of next steps from PMI, review accomplishments, strengths, challenges and barriers
  - ✓ **Next Steps**-Identify next steps with timelines to continue implementation of LCIP/SCIP strategies and action steps

Post Visit
- ADE will provide LEA and school with completed PMI report within two weeks of visit
  - ✓ **PMI**-Using evidence collected from LEA and school, classroom observations and focus group interviews, rate level of implementation of 7 Turnaround Interventions or Turnaround/Transformation Model strategies, record evidence and next steps in PMI report

Overview of Progress Monitoring Tools:

ALEAT-LCIP and SCIP- *Priority-SIG, Priority, and Focus Schools*
All LEAs with Priority-SIG, Priority, and Focus schools will submit an LCIP and SCIP on ALEAT. Priority –SIG schools must address Turnaround or Transformation strategies and action steps and tag each with a **SIG** tag. Priority schools must address all 7 Turnaround Interventions with strategies and action steps and tag each with a **PRIORITY** tag and Turnaround Intervention number tag. Focus schools will address identified Turnaround Interventions with strategies and action steps in LCIP and/or SCIP. Tag with a **FOCUS** tag and Turnaround Intervention number tag.

Progress Monitoring of Implementation (PMI) - *Priority-SIG, Priority and Focus*
The PMI serves as a periodic reflection/evaluation for the SEA, LEA and schools to monitor and assess their progress and identify next steps toward full implementation of their LCIP/SCIP strategies and action steps based on the 7 Turnaround Interventions (Priority and Focus) or Turnaround/Transformation Model (Priority-SIG). The data gathered in the PMI also supports evaluation, sustainability, continuous improvement and compliance monitoring.

Progress Monitoring of Implementation (PMI)			
Priority – SIG and Priority Schools			
Completed:	**By SEA**		**2 Times a Year**
Purpose: A tool for SEA to monitor LEA implementation of LCIP/SCIP strategies and action steps.		Visit #1-on site First semester	Determine level of implementation for each of the strategies and action steps in **LCIP/SCIP** based on **all** 7 Turnaround Interventions (Priority and Focus) or Turnaround or Transformation Model (Priority-SIG). Provide evidence of implementation and next steps for the LEA and School. Complete and submit PMI Report.
		Visit #2-on site Second semester	Determine level of implementation for each of the strategies and action steps **in LCIP/SCIP** based on **all** 7 Turnaround Interventions (Priority and Focus) or Turnaround or Transformation Model (Priority-SIG). Provide evidence of implementation and next steps for the LEA and School. Complete and submit PMI Report
Submitted:	**BY SEA**	On ALEAT and send copy to LEA and school	**Target: Within two weeks of monitoring visit**

Progress Monitoring of Implementation (PMI)			
Focus Schools			
Completed:	**By SEA**		**Once a Year**
Purpose: A tool for SEA to monitor LEA implementation of LCIP/SCIP strategies and action steps.		On site visit	Determine level of implementation for each of the strategies and action steps in LCIP/SCIP based on the identified 7 Turnaround Interventions. Provide evidence of implementation and next steps for the LEA and School. Complete and submit PMI Report.
Submitted:	**BY SEA**	**On ALEAT and send copy to LEA and school**	**Target: Within two weeks of monitoring visit**

Data Summary- *Priority-SIG, Priority, and Focus Schools*
The data summary serves as a periodic reflection/evaluation for LEA and schools to assess their progress toward improving student achievement. In addition, data should be used to strengthen program or activities, guide professional development and to refine performance measures.

Data Summary			
Priority-SIG, Priority, and Focus Schools			
Completed:	**By School**		**Three times a year**
Purpose: A tool for school to analyze school data trends, reflect on performance and determine next steps.		October 1, 2013 February 1, 2014 June 1, 2014 *If date falls on a weekend, due on the Monday after date.	Complete *Data Summary and* Narrative Questions using student performance data.
Submitted:	**BY LEA and School**	**On ALEAT and send copy to EPS**	**Oct. 1, 2013** **Feb. 1, 2014** **June 1, 2014**

Self-Readiness Assessment- *Priority and Focus Schools*

The Self-Readiness Assessment (SRA) is a mandatory component of Arizona's Flexibility Request and the school improvement process for LEAs and schools in Focus or Priority status. It is based on the 7 Turnaround Interventions, which serve as the foundation of Arizona's school improvement process. The SRA's findings are intended to direct the school's improvement plan (SCIP) development and the LEA's (LCIP) actions to support the implementation of the school improvement plan. Additionally, the SRA serves to guide ADE's feedback and recommendations to LEAs and schools in Focus or Priority status.

Districts and schools in Focus or Priority status should complete the Self-Readiness Assessment prior to submitting their LCIP and SCIP in ALEAT or use it to update LCIP and SCIP in ALEAT. Since the LCIP and SCIP are living documents, it is important to update/amend it on a regular basis. This can be done at any time on ALEAT.

The SRA will take multiple meetings to accurately evaluate all 7 Turnaround Interventions. Allowing more time and ensuring participation by all stakeholder groups will yield the most accurate Self-Readiness Assessment. SRA includes indicators and performance levels for all 7 Turnaround Interventions

Self-Readiness Assessment			
Priority and Focus Schools			
Completed:	**By School**		**Once a year**
Purpose: A tool for school to conduct a needs assessment around the 7 Turnaround Interventions.		**November 1, 2014** *If date falls on a weekend, due on the Monday after date.	Complete the *Self-Readiness Assessment* by rating each of the indicators for the 7 Turnaround Interventions. Determine and record evidence to support findings. Determine and record the primary concerns/successes, root causes and action steps for CIP.
Submitted:	**BY LEA and School**	**On ALEAT and send copy to EPS**	**November 1, 2014**

Quarterly Surveys - *Priority-SIG, Priority, and Focus Schools*

The SII Support Survey will be sent to LEA and schools quarterly. It will enable ADE to identify additional guidance or support, technical assistance, and/or professional development that may be needed by the LEA/Charter Holders and schools. Schools with an Implementation Specialist will have the opportunity to provide feedback on IS services to SII.

IV. COMPLIANCE MONITORING-Fiscal and Programmatic

The School Improvement and Intervention unit will monitor fiscal and programmatic compliance of the LEA and schools approved Continuous Improvement Plans and/or approved school improvement and intervention grant(s) through on and off site visits and reports.

CRITERIA FOR COMPLIANCE
The list below includes an overview of requirements.

Non-Grantee recipients are *required* to:
- Keep proper records
- Keep relevant records organized for announced and unannounced site visit
- Submit all SI reports-Self-Readiness Assessment (Priority and focus Schools), and Data Summaries in a timely manner
- Submit Parent Notification and LCIP/SCIP in a complete and timely manner
- Make progress towards the goals in the LCIP/SCIP
- Set aside a maximum of 20% of Title I funds for school improvement efforts

Grantee recipients are *required* to:
- Keep proper records
- Keep relevant records organized for announced and unannounced site visit
- Submit all SII reports, Self-Readiness Assessment (Priority and Focus schools), and Data Summaries in a timely manner
- Submit Parent Notification and LCIP/SCIP in a complete and timely manner
- Read and understand the approved Priority and Focus School Improvement and Intervention Grant
- Make progress towards the outcomes outlined in the awarded grant and LCIP/SCIP
- Submit and follow the General Statement of Assurance
- Follow the Grant Management Business Rules
- **Meet all deadlines for any Fiscal/Programmatic Amendments:**
  - An amendment request is subject to approval by your Education Program Specialist, before it is moved to the next level.
  - An amendment must be submitted no later than 90 calendar days prior to the project/grant ending date. (Example: Project Ending June 30th – Amendment should be submitted to ADE by April 2).
  - Submit amendments for any fiscal or programmatic change
  - Receive approval for amendments prior to implementing any change in spending or program
- Meet all deadlines for Fiscal Completion Reports
- Be familiar and follow instructions for grant management through the Grants Management Enterprise System through the Arizona Department of Education (handbook and training is available for details, call 602-542-3695)

Grantees failing to meet any single requirement of compliance are subject to compliance actions in the School Improvement *Grant Fiscal and Programmatic Accountability Protocol (See Below).*

School Improvement and Intervention
Multi-Tiered System of Support
2013-2014 School Year

School Improvement Status		Priority Schools	Focus Schools	Universal
Technical Assistance/Support	Assigned ADE Specialist (Title I and/or School Improvement)	X	X	X
	Assigned LEA & School Improvement Implementation Specialist	X grant funded only	X grant funded only	
	Orientation	X	X	
	Support with LCIP/SCIP development, implementation and monitoring	X	X	X as needed
	Support with grant application and funding process	X	X	
	Site visits	X	X	
	School Improvement webinars	X	X	X
	Website access to improvement tools	X	X	X
	Solution Team visit (based on need)	X	X based on need	
PD	Leadership Development	X required	X based on need	
	Targeted Professional Development	X	X	
	Peer-panel Webinars focused on 7 Turnaround Interventions	X	X	X
	Support in finding ADE PD aligned to LCIP and SCIP	X	X	X
Progress Monitoring	Progress monitoring site visits	X	X as needed	
	Semi-annual monitoring report by ADE	X	X as needed	
	Data Summary by school	X	X	
	School improvement surveys quarterly	X	X	
	Access to progress monitoring resources	X	X	X
Compliance Monitoring	Documentation of Title 1 set aside	X	X	
	Parent Notification Letter	X	X	
	LCIP and SCIP on ALEAT	X	X	X
	Fiscal review (funded only)	X	X	X

School Improvement and Intervention Reports & Due Dates

Priority-SIG Schools			
Monitoring Tool:	**Completed by:**	**Submitted to:**	**Due by:**
LCIP –Goal O (**SIG** Tag for SII strategies and action steps)	LEA	ADE on ALEAT	October 1, 2013
SCIP (**SIG** Tag for SII strategies and action steps)	LEA and School	ADE on ALEAT	November 1, 2013
Progress Monitoring of Implementation (PMI)	ADE Specialist	ALEAT, LEA and School	2 on-site monitoring visits per year: - Sept.-Dec.- First visit (Solution Team visit) - Jan.-May- Second visit (Progress Monitoring)
Data Summary	LEA Leadership and School Principal	ADE on ALEAT	October 1, 2013 February 1, 2014 June 1, 2014 *If date falls on a weekend, due on the Monday after date.
SII Support Survey	LEA and School	ADE to cindy.richards@azed.gov	Quarterly

School Improvement and Intervention Reports & Due Dates

Priority Schools			
Monitoring Tool:	**Completed by:**	**Submitted to:**	**Due by:**
LCIP (**Priority** Tag and Turnaround Intervention number tag strategies and action steps)	LEA	ADE on ALEAT	October 1, 2013
SCIP (**Priority** Tag and Turnaround Intervention number tag strategies and action steps)	LEA and School	ADE on ALEAT	November 1, 2013
Self-Readiness Assessment (SRA)	School Principal and Leadership Team	ADE on ALEAT	November 1, 2013
Progress Monitoring of Implementation (PMI)	ADE Specialist	LEA and School	2 on-site monitoring visits per year: - Sept.-Dec.-First visit (Solution Team visit) - Jan.-May-Second visit (Progress Monitoring)
Data Summary	LEA Leadership and School Principal	ADE on ALEAT	October 1, 2013 February 1, 2014 June 1, 2014 *If date falls on a weekend, due on the Monday after date.
SII Support Survey	LEA and School	ADE to cindy.richards@azed.gov	Quarterly

Focus Schools			
Monitoring Tool:	**Completed by:**	**Submitted to:**	**Due by:**
LCIP (**Focus** Tag and Turnaround Intervention number tag strategies and action steps)	LEA	ADE on ALEAT	October 1, 2012
SCIP (**Focus** Tag and Turnaround Intervention number tag strategies and action steps)	LEA and School	ADE on ALEAT	November 1, 2013
Self-Readiness Assessment (SRA)	School Principal and Leadership Team	ADE on ALEAT	November 1, 2013
Progress Monitoring of Implementation (PMI)	ADE Specialist	LEA and School	1-2 on-site monitoring visits for grant funded Focus schools and high need Focus schools o Sept.-Dec.- First visit (Solution Team visit) o Jan.-May- Second visit (Progress Monitoring)
Data Summary	LEA Leadership and School Principal	ADE on ALEAT	October 1, 2013 February 1, 2014 June 1, 2014 *If date falls on a weekend, due on the Monday after date.
SII Support Survey	LEA/Charter and School	ADE to cindy.richards@azed.gov	Quarterly

School Improvement Grant
Fiscal and Programmatic Accountability Protocol

Compliance Actions	Possible Reason(s)	Documents Provided	Timeframe	Possible Subsequent Action(s) Taken

Request for Records and/or Response	▪ General Compliance Monitoring
	Fiscal
	▪ Completion Report shows:
	  1. Excessive amount of Cash-On-Hand
	  2. Excessive amount of funds due to Grantee
	  3. Over-expenditures
	▪ Cash Management Report shows:
	  1. Excessive amount of Cash-On-Hand
	  2. Irregular Payments
	▪ Amendment shows:
	  1. Expenditures that are deemed unallowable and/or unreasonable
	  2. Expenditures made prior to approval of amendment
	Programmatic
	▪ Renewal Application
	▪ CIP
	▪ PMI-Site Visits
	▪ Data Summary Reports
		Grantee will provide requested:
		
		✓ Fiscal Records
		✓ Programmatic Records
		✓ Other Records as needed
		
		ADE will provide:
		
		✓ PMI Reports
		✓ Data Summary Reports
		✓ Other Records as needed
			Grantees have up to **four weeks** from the initial request to produce all requested documentation	▪ No further action required
				▪ Continued monitoring
				▪ Additional records requested
				▪ Non-Compliance Report-Corrective Action Plan
				▪ Non-Compliance Report – Programmatic Hold
				▪ Suspension of funds
				▪ Termination of funds

Non-Compliance Letter/Report **Corrective Action Plan**	▪ Program is not in alignment with approved application ▪ Failing to meet SIG Assurances ▪ Expenditures that are deemed unallowable and/or unreasonable	**ADE** will provide: ✓ Non-compliance letter and report based on request for records and/or response findings ✓ Grantee with Corrective Action Plan template to complete **Grantee** will provide as requested: ✓ Requested records ✓ Completed Corrective Action Plan and/or corrected expenditures	**Grantees** have up to **four weeks** from the initial request to submit Corrective Action Plan	▪ Non-Compliance findings resolved ▪ Non-Compliance findings unresolved –May result in: ▪ Programmatic Hold ▪ Suspension of funds ▪ Termination of funds

Compliance Actions	Possible Reason(s)	Documents Provided	Timeframe	Possible Subsequent Action(s) Taken
Non-Compliance Letter/Report **Programmatic Hold**	▪ Failure to submit records as requested ▪ Failure to comply with Corrective Action Plan ▪ Expenditures that are deemed unallowable and/or unreasonable	**ADE** will provide as needed: ✓ 2nd Request for Records letter and/or Non-compliance letter and report based on request for records and/or response findings ✓ Corrective Action Plan template to complete **Grantee** will provide as requested: ✓ Requested records ✓ Completed Corrective Action Plan and/or corrected expenditures	**Grantees** have up to **two weeks** from the 2nd request to submit Corrective Action Plan	▪ Non-Compliance findings resolved ▪ Non-Compliance findings unresolved –May result in: ▪ Continued Programmatic Hold ▪ Suspension of funds ▪ Termination of funds
Notice of Opportunity to Show Cause Letter	▪ Continue to be out of compliance ▪ Information received from grantee not accurate and forthcoming ▪ Failure to comply with corrective action plan ▪ Infraction/s too severe	**ADE** will send Grantee: 15 Day **Notice of Opportunity to Show 'Cause'** as to why federal /state requirements were not followed. Also informs grantee of possible suspension of payments	**Grantees 15 days** to submit Show 'Cause' documentation	▪ Suspension of funds ▪ Termination of funds
Suspension/ Termination of funds, Enforcement and Right to a Hearing	▪ Failed to submit an acceptable cause for not complying with award requirements	**ADE** will send grantee a Notice of Enforcement and Right to a Hearing	**Grantees 30 days** to request a hearing	▪ Termination of funds